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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/754,860	01/04/2001	Robert S. Mason JR.	EMS-01401	3989

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Patent Group
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EXAMINER

MAYO, KIMBERLY N

ART UNIT

PAPER NUMBER

2187

DATE MAILED: 09/05/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/754,860

Applicant(s)

MASON ET AL.

Examiner

Kimberly N. McLean

Art Unit

2187

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 04 January 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-31 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-31 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 04 January 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 5. 6) ☐ Other: _____

DETAILED ACTION

1. The enclosed detailed action is in response to the Information Disclosure Statement and the Application submitted on January 4, 2001.

Claim Objections

2. Claim 19 is objected to because of the following informalities:

Claim 19, Line 3 contains awkward language which states, "...operation of one of at least one of..".

Appropriate correction is required.

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in-

(1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effect under this subsection of a national application published under section 122(b) only if the international application designating the United States was published under Article 21(2)(a) of such treaty in the English language; or

(2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that a patent shall not be deemed filed in the United States for the purposes of this subsection based on the filing of an international application filed under the treaty defined in section 351(a).

4. Claims 1-2 and 8-19 are rejected under 35 U.S.C. 102(e) as being anticipated by

Yamamoto et al. (USPN: 6,408,370).

Regarding claims 1 and 8-11, Yamamoto discloses a data storage system comprising a first disk drive unit (Figure 1, References 109 and 105); a second disk drive unit, coupled to the first disk drive by a bus (Figure 1, References 104 and 105); a main cache memory, coupled to the bus,

*difference in
2nd
non-functional
reference*

*this language
needs to be
reworked*

that caches data from at least one of the first disk drive unit and the second disk drive unit

(Figure 1, Reference 102); and a secondary memory (comprised of References 107,108),

provided as part of the first disk drive unit, wherein the secondary memory has at least two

sections, a first section used by the first disk drive unit to facilitate disk accesses (Figure 1,

Reference 107; control memory; C 4, L 60-61, L 14-59) and a second section used to cache data

from the second disk drive unit (Figure 1, Reference 108; C 5, L 28-36, L 53-55).

Regarding claim 2, Yamamoto discloses an interface that communicates data to and from the

disk drive unit (inherent); a disk platter that stores data (Figure 1, Reference 105); and a

controller coupled to the interface and the disk platter (Figure 1, Reference 109), the controller

providing and accepting data signals that control the disk drive unit and communicate data

therewith, wherein the controller includes a memory (Figure 1, comprised of References 107 and

108) having a portion that is useable as cache for data that is not stored on the disk platter

(Figure 1, Reference 108; C 5, L 28-36, L 53-55).

Regarding claim 12, Yamamoto discloses a command generator (comprised or processing unit

100 and unit 140 in Figure 1) that generates at least one command for performing a data

operation in connection with caching data of the system memory and at least one command for

performing a data operation in connection with caching data of the section of onboard memory

(the processing unit stores data in the system memory, 102, when data is retrieved from 105; and

unit 140 stores data in Reference 108; C 5, L 28-30).

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Regarding claim 13, Yamamoto discloses a first command generator (Figure 1, Reference 100) that generates at least one command for performing a data operation in connection with caching data of the system memory (the processing unit stores data in the system memory, 102, when data is retrieved from 105); and a second command generator (Figure 1, Reference 140) different from the first command generator that generates at least one command for performing a data operation in connection with caching data of the section of onboard memory (unit 140 stores data in Reference 108; C 5, L 28-30).

Regarding claim 14, Yamamoto discloses a command generator (Figure 1, Reference 140) that generates at least one command for performing a data operation in connection with data caching of the section of onboard memory (C 5, L 28-30).

Regarding claims 15-18, Yamamoto discloses a host interface unit that includes the command generator, the host interface unit being connected to a host computer system (Figure 1, Reference 104).

Regarding claim 19, Yamamoto discloses a command interpreter that interprets commands in connection with a data caching operation of at least one of the section of onboard memory and the system cache memory (Figure 1, Reference 109).

Claim Rejections - 35 USC § 103

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 3-7 and 20-31 are rejected under 35 U.S.C. 103(a) as being unpatentable over Yamamoto (USPN: 6,408,370).

Regarding claim 3, Yamamoto discloses an onboard memory (Figure 1, comprised of References 107 and 108); wherein a section of the onboard memory associated with the data storage device is used as a cache including data cached from at least one other data storage device (Figure 1, Reference 108; C 5, L 28-36, L 53-55). Yamamoto does not disclose the onboard memory as a volatile memory. The onboard memory in Yamamoto's system is a nonvolatile memory. It is well known in the art to use volatile memory to store data. It is also well known in the art the nonvolatile memory requires data to be erased before overwritten which increases latency, whereas volatile memory can be overwritten without first erasing. Hence, one of ordinary skill in the art would have recognized the benefits afforded by a volatile memory such as reduced latency and would have been motivated to use a volatile memory in Yamamoto's system for the desirable purpose of decreased latency.

Regarding claims 4-5, Yamamoto discloses the data storage device as a first disk drive unit (Figure 1, Reference 109 and 105) and the section of onboard volatile memory includes data cached from at least a second disk drive unit (C 5, L 28-36, L 53-55).

Regarding claims 6-7, Yamamoto discloses an interface that provides and accepts data and a disk platter that stores data (Figure 1, Reference 105); and a controller that handles communication between the interface and the disk platter, wherein the onboard volatile memory is part of the controller (Figure 1, Reference 109).

Regarding claims 20 and 26, Yamamoto discloses obtaining data from a first disk drive unit (Figure 1, References 104 and 105) and storing at least a portion of the data on memory (Figure 1, comprised of References 107 and 108) that is part of a second disk drive unit (Figure 1, References 109 and 105) different from the first disk drive unit (Figure 1, Reference 108; C 5, L 28-36, L 53-55). Yamamoto does not disclose the memory as a volatile memory. However, it is well known in the art use volatile memory to store data. It is also well known in the art the nonvolatile memory requires data to be erased before overwritten which increases latency, whereas volatile memory can be overwritten without first erasing. Hence, one of ordinary skill in the art would have recognized the benefits afforded by a volatile memory such as reduced latency and would have been motivated to use a volatile memory in Yamamoto's system for the desirable purpose of decreased latency.

Additionally, with respect to claim 26, hardware is controlled by software (machine executable code) and thus it is evident that machine executable code is present to implement the above features.

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Regarding claims 21, 24-25, 27 and 30-31, Yamamoto discloses storing a second portion of the data from the first disk drive unit in system memory (Figure 1, Reference 102) associated with a data storage device (Figure 1) that includes the first disk drive unit and the second disk drive unit (when data is retrieved from the first disk drive unit by the processing unit 100).

Regarding claims 22 and 28, Yamamoto discloses issuing commands from a command generator (comprised or processing unit 100 and unit 140 in Figure 1) for storing the second portion of data in the system memory and storing the first portion of data in the memory of the second disk drive unit (the processing unit stores data in the system memory, 102, when data is retrieved from 105; and unit 140 stores data in Reference 108; C 5, L 28-30).

Regarding claims 23 and 29, issuing commands from a first command generator (Figure 1, Reference 100) for storing the second portion of data in the system memory (the processing unit stores data in the system memory, 102, when data is retrieved from 105); and issuing commands from a second command generator (Figure 1, Reference 140) different from the first command generator for storing the first portion of data in the memory of the second disk (unit 140 stores data in Reference 108; C 5, L 28-30).

Conclusion

7. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Binford – USPN: 5,917,723 – transferring data between two disk drives.

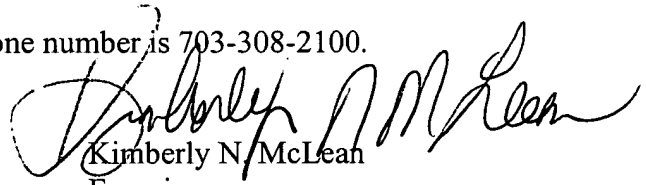
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8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kimberly N. McLean whose telephone number is 703-308-9592.

The examiner can normally be reached on M-F (9:00 - 6:30) First Friday Off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Do Yoo can be reached on 703-308-4908. The fax phone numbers for the organization where this application or proceeding is assigned are 703-7467329 for regular communications and 703-746-7240 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-308-2100.


Kimberly N. McLean
Examiner
Art Unit 2187

KNM

August 23, 2002